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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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EXAMINER

SHERR, CRISTINA O

ART UNIT	PAPER NUMBER
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3621

DATE MAILED: 07/08/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/668,421

Applicant(s)

ANANDA, MOHAN

Examiner

Cristina O Sherr

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 22 May 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 198,199,201-240 and 1978 is/are pending in the application.
- 4a) Of the above claim(s) 200 and 228-240 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 198,199 and 201-227 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

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1. This communication is in response to Applicant's amendment received 22 May 2003. Claims 228-240 are canceled. Claims 198-199 and 201227 are pending in this case.
2. Examiner acknowledges having indicated allowable material in claims 198-199 and 210-227. Upon further review, however, allowance is withdrawn for the reasons indicated below.
3. This application is a divisional of application 09/163,993 filed 30 September 1998, which is a CIP of several different applications that go back to 22 December 1993 (Ananda, US 5,495,411A).
4. With respect specifically to the dependent claims, the subject matter related to postage was not introduced in the priority applications until 10 June 1997 (08/872,792). Therefore, applicant would not be granted priority back to 22 December 1993 for the claims related to this subject matter. Applicant's priority would be granted back to 10 June 1997 only. Since priority can be granted no earlier than 10 June 1997, the reference to and Kara (5,822,739 filed 2 October 1996) is appropriate. This reference is related to postage metering which would make it appropriate to combine with Cordery (US 5,454,038A).

***Claim Rejections - 35 USC § 102***

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the

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applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

6. Claim 198 is rejected under 35 U.S.C. 102(e) as being anticipated by Cordery et al (US 5,454,038A).

Cordery discloses a system for transferring items having value in a computer network comprising a plurality of user terminals coupled to a computer network; a database system coupled to said network and remote from said plurality of user terminals for storing information about one or more users using said plurality of user terminals; and a server system coupled to said network, said server system comprising cryptographic capabilities for transferring an item having value utilizing said information stored in said database system (Col 2 ln 60 – col 4 ln 26).

7. Claim 216 is rejected under 35 U.S.C. 102(e) as being anticipated by Cordery et al (US 5,454,038A).

Cordery discloses a method for secure processing of items having value in a computer network comprising a plurality of user terminals comprising: storing information about one or more users using a plurality of user terminals in a database system coupled to a network and remote from said plurality of user terminals; and performing secure functions for an item having value utilizing said information stored in said database system to execute cryptographic capabilities remote from said plurality of user terminals.

***Claim Rejections - 35 USC § 103***

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8. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

9. Claims 199, and 201-227 are rejected under 35 U.S.C. 103(a) as being unpatentable over Cordery et al (US 5,454,038A) in view of Kara (US 5,822,739).

10. Re claim 199: Neither Cordery nor Kara explicitly discloses the use of a plurality of postal security device data stored in the database for ensuring authenticity or authority of each user, wherein each postal security device data is related to one of the users and the postal security device data related to the one of the users is loaded into the cryptographic device when one of the users requests to print a value-bearing item. However, in col. 13, lines 31-45 thereof, Kara discloses that the server (e.g., the Meter program) verifies whether the proper funding is available for the transaction requested by the user. Therefore it would have been obvious to one of ordinary skill in the art to employ a plurality of postal security device data (e.g., prepaid postage credit) stored in the database for ensuring authenticity or authority of each user (e.g., to prevent fraud by unauthorized users), wherein each postal security device data is related to one of the users and the postal security device data related to the one of the users is loaded into the cryptographic device when one of the users requests to print a value-bearing item (e.g., to prevent fraud by unauthorized users).

11. Re claims 201, 202, 202, 203, and 204: Cordery discloses:

- database comprises data for creating indicium, account maintenance, and revenue protection (e.g., col. 6, lines 49-53)
- the value-bearing item is a mail-piece (e.g., postage for a mail)
- the cryptographic device generates a digital signature (e.g., digital token).
- the cryptographic device encrypts the request information (col. 3, line 65-col. 4, line 3).

12. Re claim 205: In Cordery, it would have been inherent to generate data sufficient to print a postal indicium in compliance with postal service regulation on said mail piece, since otherwise the system would not work.

13. Re claims 206 and 208: Cordery discloses that his system is a value printing system without explicit disclosure of the value-bearing system being a ticket or a coupon. However, Kara discloses a ticket or any form of indicia as value-bearing items (col. 15, lines 23-32). Thus, it would have been obvious to one of ordinary skill in the art to use any value-bearing items, e.g., a ticket, coupon, certificate, check, etc., as disclosed by Kara.

14. Re claim 207: Cordery does not explicitly disclose the use of a bar code. However, as shown by Kara, the use of a bar code with a system of the sort here involved is well known. Re claims 209-215: Cordery discloses the postal security device data comprising an ascending register value, a descending register value, a respective cryptographic device ID, and an indicium key certificate serial number; encryption keys; and the use of a password (e.g., col. 4, line 55-col. 7, line 15). Cordery does not explicitly disclose the claimed public and private keys. However, as shown by Kara

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(e.g., col. 10, lines 18-29), the claimed public/private key feature is well-known encryption method in the art.

15. Re claims 209-215: Cordery discloses the postal security device data comprising an ascending register value, a descending register value, a respective cryptographic device ID, and an indicium key certificate serial number; encryption keys; and the use of a password (e.g., col. 4, line 55-col. 7, line 15). Cordery does not explicitly disclose the claimed public and private keys. However, as shown by Kara (e.g., col. 10, lines 18-29), the claimed public/private key feature is well-known encryption method in the art.

16. Re claims 216-227: The claimed method would have been obvious to use the system which would have been obvious Cordery in view of Kara as stated supra (claims 198-200 and 202-208).

### ***Conclusion***

17. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Cristina O Sherr whose telephone number is 703-305-0625. The examiner can normally be reached on Monday through Friday 8:30 to 5:00.

18. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on 703-305-9768. The fax phone numbers for the organization where this application or proceeding is assigned are 703-305-7687 for regular communications and 703-305-7687 for After Final communications.

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19. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

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June 30, 2003



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